

Securities Registrations

Filing/Security Type	Manual	Electronic	Total
New Mutual Fund Notice Filings	2	84	86
New UIT Notice Filings	146	0	146
Renewal Filings	41	2207	2248
Additions	11	466	477
Oversales	0	82	82
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
BDC	0	0	0
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	0	0	0

Exemptions

Exemption Type	Filings	Withdrawals
8-1108.02(2) Paper	1	0
8-1108.02(2) Electronic	86	0
8-1110(5)(b)	0	0
8-1110(8)	0	0
8-1111(9)	6	0
8-1111(11)(a) and (b)	0	0
8-1111(14)	0	0
8-1111(15)	0	0
8-1111(16)	0	0
8-1111(20)	0	0
8-1111(21)	0	0
8-1111(23)	0	0
Reg A tier 2	4	0
Total Exemptions Received as of April 2021	97	0

Loan Broker Act

Activity	Total
New Loan Broker filing	-
Loan Broker amendment filing	1
Loan Broker renewal filing	1
Total Loan Brokers Registered as of April 2021	14

SAMP Act

Business Opportunities

Activity	Total
New Business Opportunity filing	-
Business Opportunity amendment filing	1
Business Opportunity renewal filing	1
Total filings as of April 2021	3

Franchise Exemption

Activity	Total
Franchise Exemption filings Received as of April 2021	42

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers			
Activity	FINRA	NON-FINRA	Total
Approved	7	0	7
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	2	0	2
Gain (+) /Loss (-) BD's between March & April	5	0	5
Total BD's Registered as of April 2021	1,278	30	1,308

Broker-Dealer Agents			
Activity	FINRA	NON-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2380	0	2,380
Denied		0	0
Terminations	1,572	0	1,572
Gain (+) /Loss (-) BDA's between March & April	808	0	808
Total BDA's Registered as of April 2021	116,799	87	116,886

Investment Advisers and Representatives

Investment Advisers			
Activity	Registered	Notice Filed	Total
Approved	1	20	21
Applications Abandoned	0	0	0
Applications Denied	0	0	0
Registrations Terminated/Withdrawn	1	4	5
Gain (+) /Loss (-) IA's between March & April	0	16	16
Total IA's Registered as of April 2021	96	1,655	1,751

Investment Adviser Representatives			
Activity	Registered	Notice Filed	Total
Approved	0	47	47
Denied	0	0	0
Terminated	2	45	47
Gain (+) /Loss (-) IAR's between March & April	-2	2	0
Total IAR's Registered as of April 2021	159	4,300	4,459